



STATE RECORDS COMMISSION

MINUTES OF FOURTEENTH MEETING HELD AT THE JOHN CURTIN PRIME MINISTERIAL LIBRARY, CURTIN UNIVERSITY, ON 8 MAY 2003

PRESENT:

Mr Des Pearson	Auditor General
Ms Kandy-Jane Henderson	Governor's Appointee: Archivist, John Curtin Prime Ministerial Library
Ms Bronwyn Keighley-Gerardy	FOI Commissioner
Ms Deirdre O'Donnell	State Ombudsman
Mr Tony Caravella	Director: State Records
Ms Isabel Smith (Executive Secretary)	Manager: State Recordkeeping

MINUTES:

Ms Lillian Van Oijen	Temporary Minutes Secretary (in absence of Mrs Norma Shopland)
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- 1. Welcome**
The Chair welcomed Ms Van Oijen, who is temporarily replacing Mrs Shopland while on leave.
- 2. Apologies**
Nil
- 3. Notices of Urgent Business**
Nil
- 4. Confirmation of Minutes of Meeting on 20 March 2003**
Confirmed

5. MATTERS ARISING

5.1 State Records Office Operational Plan

Ms Isabel Smith tabled the SRC brochure. The Chair suggested bringing the brochure to the attention of the Minister on her visit to SRO later today.

Next meeting Tony Caravella will provide the Commissioners with a draft Strategic Plan which the SRO has been developing.

NOTED

**5.2 The Gordon Inquiry R & D Schedule
[Paper 25/2003]**

Ms Isabel Smith tabled the letter from the Director General of the Department of Premier & Cabinet in response to the SRC's letter requesting update of progress of this issue.

Ms Smith will contact the Department of Premier and Cabinet to establish the priority to be given to the R & D schedule and when it will be ready with the object of finalising the RKP for this inquiry.

NOTED

5.3 The Secretary noted that Item 5.3 had been omitted from the Agenda. No item exists for 5.3

5.4 WA Inc Records Project – update

Ms Smith explained that the project was running approximately 6 weeks behind schedule. Certain procedures have been eliminated and an extra staff member assigned to the project, one day per week, to assist with the processing rate. It is believed that the project will be completed on schedule.

NOTED

**5.5 RKP Self-Assessment Check List – update
[Paper 26/2003]**

The check-lists are split into two parts: one for State Government organizations and one for Local Government.

It was **AGREED** that the Director: State Records would draft a letter for the SRC Chair's signature. The letter is to be addressed to all Directors General and highlight 3 points: The availability of the RKP self-assessment checklist (available on the SRO website); the availability of assistance from SRO; a reminder as to the deadline for RKP lodgement. It was

FURTHER AGREED that the Director: State Records would draft a letter for SRC Chair signature. This letter is to be addressed to Minister M^cHale suggesting she write to all other Ministers highlighting the enabling tools available for RKPs. The transmittal letter will be forwarded to the Chair prior to distribution.

NOTED

5.6 State Records Act – Coverage of Local Government Elected Members’ Records

The Director: State Records advised on his meeting with the WA Local Government Association (WALGA) and Minister M^cHale, in which the Minister stated she would not be recommending that State Parliament vary the Act to exclude Local Government councillors. The Minister asked the Director to streamline the guidelines for Local Government.

Subsequent to that meeting, the Director and the Manager: State Recordkeeping, met with WALGA representatives to clarify the guidelines.

The Commission strongly **ENDORSED** the tabled booklet arising out of this meeting. It was agreed that the booklet should be amended on the front cover to show it originates from SRO and not SRC, as was printed on the front cover. It was agreed that SRO will send a copy to all elected Local Government councillors with a copy to peak bodies such as LGMA, WALGA, LGRMG and Department of Local Government. The Commission requested that a statement be included inside the booklet to the effect that the SRC endorses this guide.

NOTED

5.7 Executive Contacts – update

The Manager: State Recordkeeping advised that database of executive contact information was now complete.

NOTED

5.8 Confirmation of future SRC and SRAC meeting dates

The Manager: State Recordkeeping advised the Commissioners that SRAC meetings will now be held every 2nd month and that attendees will be chosen on a rotational basis to optimise the contribution of members.

Noted

6. COMPLIANCE ISSUES

6.1 New Organisations

Nil

**6.2 Calendar of Compliance dates – update
[Paper 28/2003] Indicator of number of RKPs received**

The Commission **NOTED** the attached report from the Director: State Records.

The Commission **AGREED** that the information would be put on a simple spreadsheet. This simple and effective tool will be sufficient for the present time until a more sophisticated system may be required. The Director: State Records will draft a spreadsheet for approval at the next meeting. The calendar on the spreadsheet should focus on compliance dates for agencies rather than the infrastructure aspects such as review date for appointments to SRC etc. In terms of recording RKP's the Commission agreed that the following data fields would be required: agency name; date received; due date; date approved; date for review; and RKP number.

NOTED

6.3 Estimate of the Quantity of Archival Records in Agency Custody [Paper 30/2003]

The Commission endorsed the SROs's efforts to obtain more information to complete the survey.

The Commission **ENDORSED** the development of a business proposal and long-term solution to the whole of Government storage needs.

The Commission noted the Director: State Records report.

6.4 Archive Keeping Plan [Paper 11/2003]

This item was held over from the meeting of 20 March 2003.

The Commission congratulated the SRO staff responsible for Archive Keeping Plan. The Commission **NOTED and APPROVED** that the framework within the AKP will be refined and developed over time.

It was **NOTED** that the AKP would be published on the web, without the highlighted text as that text relates to SRO in-house procedures or deals with building security and as such is not appropriate for disclosure.

6.5 Schedule 3 Recordkeeping Plans

6.5.1 Gazettal of Schedule 3 Recordkeeping Plans - update.

The Gazettal has been signed by all Commissioners and submitted to State Law Publisher for Gazettal (scheduled to occur on 9 May 2003). A letter would be drafted by the Director: State Records to Western Power and Water Corporation formally advising of the Gazettal referred to above.

6.5.2 Copy of letter to Western Power confirming approval of plan [Paper 31/2003]

The letter to the Minister for Energy was **NOTED**, as was the attached RKP from Western Power. The Commission agreed that, were they the approving body, they would approve the amended RKP, as submitted to the Minister.

7. LEGISLATION REVIEW ISSUES

Nil

8. ITEMS FOR ACTION

8.1 State Records Advisory Committee Minutes of Meeting held 26 March 2003.

The Minutes of the SRAC meeting held 26 March 2003 were **NOTED**.

The Chair acknowledged the perseverance and commitment of the members of this Committee over time and especially noting their other workloads.

Director: State Records highlighted to the Commission the advance notice that Professor Bolton will retire from SRAC due to other commitments.

A suitable way of acknowledging and expressing appreciation for the work of this group and its individual members was discussed. It was **AGREED** that some form of annual function would best suit, preferably some time in June of each year.

8.2 State Records Advisory Committee Recommendations

8.2.1 RD2002041 – Office of the Auditor General [Paper 32/2003)

NOTE: The Auditor General expressed a Conflict of Interest in this item and so vacated the Chair. At this juncture Ms Bronwyn Keighley-Gerardy assumed the Chair temporarily. Agenda Item 8.3.1 was also discussed at this juncture on a similar basis since the Chair disclosed a personal interest in the matter in 8.3.1.

APPROVED

8.2.2 RD 2002049 – State Supply Commission of Western Australia [Paper 33/2003]

APPROVED

8.2.3 RD 1998021 – State Library of Western Australia [Paper 32/2003]

APPROVED

8.2.4 AD 2002018 – West Coast College of TAFE [Paper 34/2003]

APPROVED

- 8.2.5 RD 2002005/1 – State Records Office of Western Australia [Paper 36/2003]

APPROVED

- 8.2.6 RD 2002039 – Country High School Hostels Authority [Paper 37/2003]

APPROVED

- 8.2.7 RD 2001014/1 – Office of the Public Sector Standards Commission [Paper 38/2003]

The SRC expressed concern regarding the proposed destruction of sensitive material as outlined in the proposed amendment to the Retention & Disposal schedule. The Commission discussed this issue, with the FOI Commissioner abstaining from the discussion on the basis of a possible conflict of interest

The request for variation was **NOT APPROVED**. SRC directs that the PSSC confidential records be kept under restricted access for 5 years and then disposed of in accordance with the existing Retention & Disposal schedule.

- 8.2.8 Administrative Records General Disposal Authority [Paper 39/2003]

APPROVED

8.3 Recordkeeping plans for approval

- 8.3.1 RKP 2002053 –Record keeping Plan of the Office of the Auditor General [Paper 40/2003]

APPROVED for 5 years

- 8.3.2 RKP 2003018 – Recordkeeping Plan of the International Centre for Application of Solar Energy (CASE) [Paper 41/2003]

The R & D is almost complete and will be presented at the June meeting of SRC for approval. The SRC were satisfied with the RKP and will approve the document at the June meeting once the R & D components has passed through the SRAC.

DEFERRED

8.4 Margaret Medcalf Award – update and proposed selection process

The Commissioners asked for the selection criteria and rationale leading to the short listing of nominees to be forwarded to them.

The meeting discussed possible future sponsorship available through various sources for next year's award.

The Timeline was **ENDORSED**, the short list **APPROVED** and the judging panel authorised. The panel will comprise Commissioner Kandy-Jane Henderson, the Director: State Records, and an historian.

9. ITEMS FOR CONSIDERATION

9.1 Future Standards [Paper 42/2003]

Director: State Records raised the issue of definitions in respect to future standards. He stressed the importance of the definitions as enforceability under the State Records Act refers to "Standards".

The definition of "standards" was discussed against the terms of "principles" and "guidelines".

It was **AGREED** that the SRO would explore and prepare a possible standards framework or architecture upon which the future standards development could be based. The SRC would consider the SRO proposal regarding an architecture and once approved by the SRC the list of proposed standards presented at this meeting could be fitted into that architecture.

STANDARDS WERE ENDORSED

9.2 Submission received from (allegation against the Department of Premier & Cabinet recordkeeping) [Paper 43/2003]

The FOI Commissioner informed the meeting that she has past knowledge of this issue and advised of the general background to this complaint.

It was **AGREED** that the Director: State Records draft a response on behalf of the Commissioners to acknowledging request and advising that the SRC is not the appropriate forum for this complaint and thatmay be aware that the Parliamentary Commissioner review facility is in existence and that may wish to pursue that avenue.

9.3 UWA request for submission of incomplete RKP [Paper 44/2003]

The Commissioners **ENDORSED** the response to the Registrar of the University of WA requesting an additional principle to be included in the submission.

9.4 Strategy for RKP lodgement compliance [Paper 45/2003]

Commissioners **ENDORSED** the attached paper to be distributed by the Director: State Records at the Strategic Management Council meeting on 5 June 2003.

9.4.1 The principle of aggregation and the workshop driven RKP model [Paper 44/2003]

The Manager, State Recordkeeping, further expanded this item. It was suggested that the cost of the workshop could be more ie \$3000 per agency sending 2 people.

The specifications for a consultant to run the workshops are currently being researched and a call for tender is being developed. The Commission requested that the contract specify that if no interest was expressed in the workshops, no penalty would apply to the SRO.

ENDORSED the principle of aggregation

ENDORSED the workshop model

9.5 Agency storage guidelines (confirmation of publishing)

CONFIRMED that the guidelines have been published on the website and agencies advised of their existence.

9.6 Water Corporation contract management template & update of Standard 6

Gaynor Deal is happy to participate in the production of the template even though she is leaving the Water Corporation, possibly by the end of June 2003. However, she may not have the time to work on the revision of the Standard but would like to consider being involved in this project. It was **AGREED** that Gaynor would be approached.

9.7 **FOI Commissioner's proposed attendance to present a paper at Archives & Records Education Stakeholders (ARES) conference in Melbourne [Paper 47/2003]**

The Director: State Records to write to the Minister informing her of Bronwyn Keighley-Gerardy's attendance at this conference and that funding will be provided from the SRO budget.

ENDORSED

9.8 Preliminaries for SRC Annual Report preparation

The Director: State Records Office, advised that the Annual Report is due by 1 November 2003. An outline will be brought to the SRC meeting of 31 July 2003, and will include discussion on the Archival Records in custody, the level of RKP lodgement. The Director suggested that he'd aim to have the document complete by the end of August 2003.

AGREED

10. ITEMS FOR NOTING

10.1 SRO Activities

The Manager: State Recordkeeping tabled a list of Recordkeeping Training conducted throughout the State (additional to the normal training program) since June 1998, and Operational Activities for the period 20 March 2003 to 8 May 2003.

NOTED

10.1.1 Publicity on Director: State Records appointment

The Commissioners **NOTED** the newspaper articles regarding the appointment of Tony Caravella as Director: State Records.

10.1.2 Minister's informal visit to SRO (8th May 2003)

The Minister, Hon Sheila M^cHale, will visit State Records Office at 5.30pm this afternoon.

NOTED

10.2 SRC Activities

Acknowledgement and congratulations were extended to Kandy-Jane Henderson, Archivist, John Curtin Prime Ministerial Library, and a member of this Committee, on her receiving the Centenary of Federation Medal.

11 OTHER BUSINESS

11.1 Upcoming conferences

The Chair tabled information concerning the upcoming Galleries, Libraries, Art Galleries and Museums (GLAM) Conference scheduled for 17-20 September 2003 in Adelaide. The Commissioners were invited to contact Des Pearson and Director: State Records if they were interested in attending.

The Director: State Records advised that prior to this the Records Management Association is holding its annual conference in Melbourne on 14-17 September 2003.

NOTED

11.2 Draft ASA Policy on Appraisal

Tabled by Kandy-Jayne Henderson

NOTED

Next Meeting Monday, 23 June 2003,
Alexander Library Building

Meeting Close The Chair closed the meeting at 12.10 pm

SIGNED

DATED